



U.S. Department of  
Transportation

Detach instructions before filing

## U.S. DEPARTMENT OF TRANSPORTATION PERFORMANCE APPRAISAL FORM

This form shall be used for employees covered by the Performance Management and Recognition System (PMRS) (GM-13 through 15) and General Schedule and Prevailing Rate employees covered by the Performance Management System (PMS). Please refer to your organization's implementing instructions if further guidance is required.

### INSTRUCTIONS TO RATING OFFICIAL

#### 1. Beginning of the Appraisal Period.

- a. List the most important job elements in Section F, "Performance Plan" (DOT Form 3430.7A (Rev. 12/86)). Use one side for each job element.
- b. Also establish the relative importance of each job element by indicating the appropriate weight (no critical job element may receive a weight of less than 10% and the weight for noncritical job elements must range from 1-5%).
- c. Describe performance standards for each element in accordance with your organization's implementing instructions.
- d. Attach the completed Performance Plan to the "Performance Appraisal Form" (DOT Form 3430.7) and forward to your supervisor for higher level management approval.
- e. Following the management approval process and discussion with the employee provide a copy of the appraisal form to the employee.
- f. In order to protect the privacy of the employee, keep this form in a secured place.

#### 2. Progress Review.

- a. The DOT Performance Appraisal System requires a mid-point appraisal period progress review to inform the employee of his/her performance against the elements and standards, to review the accuracy of the elements and standards and to reflect changes in the performance plan. Additional reviews may be necessary. Section B of the form must be used to document completion of the mid-point progress review. Change to the Performance Plan and comments, if any, should be stated in Section D, "Remarks."
- b. Any revision to the plan must be approved by your supervisor.

#### 3. The Conclusion of the Appraisal Period.

- a. To document employee performance, complete Section G, "Actual Achievement" in accordance with your organization's implementing instructions.
- b. Check the appropriate rating for each job element in the block provided in Section G. Transfer the ratings on each element in Section C, "Annual Performance Rating Determination."
- c. Use Section C to compute the scores on each job element and to determine the summary rating by means of the conversion table provided. Approval of the rating of record must be obtained prior to discussing the rating of record with the employee.
- d. Certification by the rating official, approving official and employee should be recorded in Section C. Comments, if any, should be stated in Section D, "Remarks."
- e. Use Section E to identify training to assist the employee in improving job performance.
- f. When completed, transmit the original performance appraisal form to the Personnel Office and provide a copy of the completed form to the employee.





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Last Name—First Name—Middle Initial		Social Security No.	Appraisal Period	
			From	To
Title, Series and Grade			Organizational Unit and Location	

### A CERTIFICATION OF INITIAL DISCUSSION AND APPROVAL OF PERFORMANCE PLAN

Signature of Supervisor	Title	Signature of Employee
Signature of Approving Official	Title	Date of Discussion

### B SEMI-ANNUAL PROGRESS REVIEW

Signature of Supervisor	Signature of Employee	Date of Discussion
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### C SUMMARY PERFORMANCE RATING DETERMINATION

To determine the summary rating, multiply the rating score for each job element by the weight factor of that element. This becomes the adjusted score. Next, add the adjusted scores and use the Conversion Table below to determine the summary rating, and check the appropriate box.

Job Element #	Rating Score	Weight	Adjusted Score
1	_____ × _____	_____	_____
2	_____ × _____	_____	_____
3	_____ × _____	_____	_____
4	_____ × _____	_____	_____
5	_____ × _____	_____	_____
6	_____ × _____	_____	_____
7	_____ × _____	_____	_____
Total			_____

CONVERSION TABLE	
Performance Appraisal Score	Summary Rating
2.7–3.0 (no CJE less than Exceptional)	<input type="checkbox"/> Outstanding (Level 5)
1.7–2.69 (No CJE less than Fully Successful)	<input type="checkbox"/> Exceptional (Level 4)
1.0–1.69 (No CJE less than Fully Successful)	<input type="checkbox"/> Fully Successful (Level 3)
0 – .99 (No CJE less than Partially Successful)	<input type="checkbox"/> Partially Successful (Level 2)
Minus Score	<input type="checkbox"/> Unacceptable (Level 1)

**Reason for rating:**

- ☐ End of annual cycle  
☐ Employee reassigned  
☐ Employee leaving agency  
☐ Other (Specify)

Signature of Supervisor \_\_\_\_\_ Date \_\_\_\_\_

Signature of Reviewing Official \_\_\_\_\_ Date \_\_\_\_\_  
(if required)

I have reviewed the completed performance document and it has been discussed with me. This does not necessarily mean that I agree with all of the information in it or that I forfeit any rights of review. (Comments may be entered in "Remarks")

Signature of Approving Official \_\_\_\_\_ Date \_\_\_\_\_

Signature of Employee \_\_\_\_\_ Date \_\_\_\_\_

**Personnel Office Use**

- ☐ Summary Rating  
☐ Rating of Record  
☐ 5 ☐ 4 ☐ 3  
☐ 2 ☐ 1

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**D****REMARKS**

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This section may be used to document discussions at the semi-annual progress review, to note changes in the performance plan, and to record comments concerning the summary rating. Remarks should be initialed and dated.

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**E****IDENTIFICATION OF TRAINING NEEDS**

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Where required, identify technical and/or management training which could assist the employee in improving job performance.